



**State of Montana**  
**Department of Administration**

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**Agency IT Plan**  
**Fiscal Year 2012-2017**

May 2012

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## EXECUTIVE SUMMARY

The Department of Administration (DOA) provides a wide variety of essential services and information to a diverse customer base, including other government agencies, state employees, citizens and the legislature. Our customers increasingly expect information and services to be available on-line and on-demand, whenever and wherever they are needed. While expectations for improving services and access to information are great, our challenge is to balance these requests with our limited resources.

Two years ago, I authorized creating and filling an Information Technology (IT) Manager position to help us meet this challenge and develop and coordinate a strategic approach to the department's technology efforts and investments. Over the past two years we have established management and control of our technology portfolio and have developed a clear roadmap for future efforts. The strategic deployment of information technology is vital to supporting our mission and successfully achieving the department's goals.

This strategic plan outlines the roadmap we'll use to accomplish our three primary goals:

- Assist divisions in providing services and information that meet the Department's mission—to serve, satisfy and support our customers
- Develop comprehensive information and data management strategies and associated supporting programs
- Establish an IT services foundation based on standards, best practices, and fiscal sustainability

I strongly support this plan and the continued evolution and maturity of our IT programs and services.



Janet R. Kelly, Director

Department of Administration

## SECTION 1: AGENCY ADMINISTRATIVE INFORMATION

### ***Role: Plan Owner***

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### ***IT Inventory***

The IT inventory database located at <http://mine.mt.gov/enterpriseitinventory> was or will be updated on June 30<sup>th</sup>, 2012 as required by MCA 2-17-524(3)(c).

## SECTION 2: AGENCY IT MISSION

The Mission of DOA IT is simple and the same as our Department mission – “Serve, Satisfy and Support Our Customers”

## SECTION 3: AGENCY REQUIRED PROGRAMS

### *Information Security Management (ISM) Program General Description*

The DOA is working towards implementing a department-wide (agency) information security management program compliant with §2-15-114, MCA and the State Information Technology Services Division *Information Security Programs* policy with adoption of the National Institute of Standards and Technology (NIST) Special Publication 800 series as guides for establishing appropriate security procedures. This is in alignment with the State Information Technology Service Division's direction for an enterprise approach to protect sensitive and critical information being housed and shared on State and/or external/commercial information assets or systems.

As described in NIST SP 800-39, the DOA is working towards developing and adopting an Information Risk Management Strategy to guide the agency through information security lifecycle architecture with application of risk management. This structure will provide a programmatic approach to reducing the level of risk to an acceptable level, while ensuring legal and regulatory mandates are met in accordance with MCA §2-15-114.

The DOA's anticipated program will have four components which will interact with each other in a continuous improvement cycle. They are as follows:

- Risk Frame – Establishes the context for making risk-based decisions
- Risk Assessment – Addresses how we will assess risk within the context of the risk frame; identifying threats, harm, impact, vulnerabilities and likelihood of occurrence
- Risk Response – Addresses how we will respond to risk once the level of risk is determined based on the results of the risk assessment; e.g., avoid, mitigate, accept risk, share or transfer
- Risk Monitoring – Addresses how we will monitor risk over time; "Are we achieving desired outcomes?"

The DOA's information security management program is challenged with limited resources, manpower and funding. While alternatives are reviewed and mitigation efforts are implemented, the level of acceptable risk is constantly challenged by the ever-changing technology and associated risks from growing attacks and social structure changes.

### *Future Security Program Plans*

The number one priority for the DOA's ISM Program is to address the staffing and resourcing challenges. The DOA plans on working towards obtaining the staff and funding necessary to establish and run the ISM Program long-term.

### *Continuity of Operations (COOP) Capability Program General Description*

The Department of Administration, in collaboration with the DOA Security and Continuity Services group, began development of its Continuity of Operations program in October 2009.

The COOP program involves two areas of focus. The first is completion of the Business Continuity Plans (BCP) for the Department. The second area will be centered on a comprehensive Incident Management Plan, along with other associated plans.

To date, the COOP effort has focused on data collection to support continuity planning. This data is based on continued performance of the State Essential Functions of government. The Living Disaster Recovery Planning System (LDRPS) is being used as the data warehouse for this effort. All Department BCP planners have been trained in its use. Continual improvements are being made to improve the ease of use of the software, as well as to improve its value to the planning effort.

DOA has completed BCP Phase I for the 73 identified Business Continuity Plans. The remainder of Phase II is expected to be complete for all department BCPs by May 2012. Emergency Action Plans for each building that DOA employees occupy are complete.

### *Future COOP Program Plans*

Over this strategic period the Department will develop its comprehensive Incident Management Plan, and create and implement a maintenance and exercise schedule for all the plans. We will continue training as needed for new staff.

## SECTION 4: AGENCY IT PLAN – GOALS & OBJECTIVES

### **Goal Number 1:**

**IT Goal 1**            **Assist divisions in providing services and information that meet the Department’s mission to serve, satisfy and support our customers.**

**Description:** Through a combination of technology, business process automation and improvement and a “Department” approach to providing services and information, DOA IT will assist divisions and the department to deliver services and information to our customers. DOA IT will also develop and promote a culture of continual service improvement and enhancement.

**Benefits:** This goal recognizes the value of leveraging information technology to deliver services more efficiently and effectively. This goal also recognizes the value of using emerging and new technology to offer new services, enhance existing ones and create opportunities for process and service improvements.

**Which state strategic goal(s) and/or objective(s) does your goal address?** This goal addresses all five goals of the State IT Strategic Plan. This goal aligns strongly with the goal of aggressively using technology to extend capabilities and provide tangible benefits to DOA service providers and their customers.

### **Supporting Objective/Action**

**Objective 1-1**        **Enhance and improve access to information.**

*Describe the business requirements or business problem driving this objective:* The DOA is the primary provider of the State’s enterprise administrative services, including financial and accounting information, statewide policies and procedures, employee and state employment information, purchasing and contract information and information about state-owned assets such as buildings and infrastructure. Many other state agencies need or require this information to make decisions, conduct business or are required to provide elements of this information to the DOA.

*Describe the benefits to be derived from the successful completion of this objective:* Improving access to information will help our customers to more easily find information they need, efficiently contribute information they are responsible for and enable transparency in State of Montana information and operations.

*Describe the anticipated risks associated with this objective:* The largest risk is being able to develop a data management strategy (See objective 2-2). Without a data management strategy, any efforts towards this objective could result in “silos” or hinder progress on projects due to uncertainty over ownership and responsibility of information.

*What is the timeframe for completion of this objective:* Ongoing

*Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed?* The elimination of duplicative, manual and ad hoc processes for obtaining and maintaining information and an increase in the confidence and accuracy of the DOA’s information. A reduction of redundant sources of information and an increased use of DOA data sources will indicate success.

### **Supporting Objective/Action**

**Objective 1-2**        **Enhance and improve customer service.**

*Describe the business requirements or business problem driving this objective.* Good customer service is the cornerstone of the department’s mission. Poor customer service, whether real or perceived, inhibits department’s ability to meet its mission. The ability to quantify processes and services and their effects on customer service will be a key to this objective and help business process owners to make decisions that

support good customer service.

*Describe the benefits to be derived from the successful completion of this objective.* Good customer service will help create relationships that are productive, valuable and collaborative.

*Describe the anticipated risks associated with this objective. (e.g., risks associated with inaction or not completing this objective; risks associated with completing this objective).* Inaction will lead to dissatisfaction with services, conflict and create barriers to success. Another risk is correctly identifying and quantifying the correct “customer service” factors so that improvements or declines can be accurately measured. Using factors that are not appropriate could lead to significant errors in decisions or investments.

*What is the timeframe for completion of this objective?* Ongoing.

*Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed?* Metrics and factors will need to be established for individual services and programs and will vary greatly. Generally, success will be indicated by our customers as they use systems and information to make decisions that demonstrate improvements to *their* operations.

### **Supporting Objective/Action**

#### **Objective 1-3 Streamline services and create a DOA services identity and culture.**

*Describe the business requirements or business problem driving this objective.* Many divisions in the DOA provide complimentary or overlapping services. Currently, most services are “siloes” in the way they are delivered, meaning customers must know which particular Division or Bureau provides a particular service or program in order to receive it. Additionally, because services are delivered separately, we inadvertently create disconnects and redundancies, resulting in barriers to the above goals of access to information and good customer service.

*Describe the benefits to be derived from the successful completion of this objective.* In addition to supporting the above goals of access to information and customer service, this approach should help us better identify key areas for investment and resource allocation when it comes to deciding on which services and systems to invest and improve.

*Describe the anticipated risks associated with this objective. (e.g., risks associated with inaction or not completing this objective; risks associated with completing this objective).* Acknowledge that not all divisions or programs will benefit from a DOA services identity approach and decide carefully where it makes sense to have an individual division or program identity or separation. Budget inequities among complimentary service providers will also be a challenge.

*What is the timeframe for completion of this objective?* Ongoing

*Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed?* A good barometer for success will be indicated by successes in objectives 1-1 and 1-2.

### **Goal Number 2:**

#### **IT Goal 2 Develop comprehensive information and data management strategies and associated supporting programs.**

**Description:** The Department will develop comprehensive information and data management strategies and associated supporting programs which will improve the security, reliability, availability and transparency of information.

**Benefits:** This goal acknowledges the importance of our role as manager and custodian of data and information vital to the operation of Montana state government operations. Formal strategies and programs enable the DOA to meet statutory requirements to protect information. Sound strategies and programs will also foster improved sharing and efficient use of information and assist the DOA to designate the ownership, responsibility and accountability of data and information.



**Which state strategic goal(s) and/or objective(s) does your goal address?** This goal addresses all five goals of the State IT Strategic Plan. This goal aligns strongly with the goals of providing citizens and employees of the state access to information and developing and implementing a governance structure for technology and information.

### **Supporting Objective/Action**

#### **Objective 2-1      Establish an Information Risk Management Program.**

*Describe the business requirements or business problem driving this objective:* The DOA has a statutory and moral obligation to protect the sensitive information that it manages or is the custodian of.

*Describe the benefits to be derived from the successful completion of this objective:* An Information Risk Management Program will enable the DOA to evaluate information risks methodically and prioritize efforts and resources to mitigate those risks.

*Describe the anticipated risks associated with this objective:* The primary risk is a lack of resources and expertise to establish and run the program. There is also a risk that a breach may occur before a plan can be adopted or fully implemented.

*What is the timeframe for completion of this objective:* Establishment of the program in FY2013 with full implementation by FY2015 and then continuous improvement and maintenance of the program thereafter.

*Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed?* The degree of success will be determined by independent audits, evaluations of risks and the effects of any data security breaches.

### **Supporting Objective/Action**

#### **Objective 2-2      Establish a data management strategy.**

*Describe the business requirements or business problem driving this objective.* Objective 1-1 identifies the DOA as the primary custodian of the State's enterprise administrative data and information. Currently, data ownership is ad hoc, informal and undefined and has resulted in creating barriers to efficient and effective processes and services. This objective effort will establish a formal data management strategy to identify ownership and responsibility of information and data managed or maintained by the DOA.

*Describe the benefits to be derived from the successful completion of this objective.* A formal data management strategy will assist the DOA in identifying key areas where data and information are shared and establish control, structure and accountability of data and information.

*Describe the anticipated risks associated with this objective. (e.g., risks associated with inaction or not completing this objective; risks associated with completing this objective).* The major risk to achieving this objective will be deciding on the owners and custodians of the information and data.

*What is the timeframe for completion of this objective?* Ongoing.

*Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed?* This objective will be successful when there is a defined and structured methodology for data management and ownership.

### **Supporting Objective/Action**

#### **Objective 2-3      Establish a records management program that aligns with Statewide strategies and efforts.**

*Describe the business requirements or business problem driving this objective.* The DOA, like all other state agencies, is struggling with managing information and data that is in increasingly disparate and various formats. Determining what is or is not a record is subjective and unclear and current efforts are sporadic, disconnected, inconsistent and unreliable.

*Describe the benefits to be derived from the successful completion of this objective.* This issue is a statewide challenge and not DOA specific. Establishing a formal DOA Records Management program that

is aligned with statewide strategies and efforts will help ensure our efforts are coordinated and gain from the cooperation and collaboration with statewide efforts. A formal records management program will benefit the DOA by ensuring compliance with records management statutes. In addition, the business benefits of sound records management practices are being able to better control the creation and growth of records, minimizing litigation risks and safeguarding vital information.

*Describe the anticipated risks associated with this objective. (e.g., risks associated with inaction or not completing this objective; risks associated with completing this objective).* The primary risk is lack of resources and expertise to establish and run the program.

*What is the timeframe for completion of this objective?* Establishment of the program in FY2015 and then continuous improvement and maintenance of the program thereafter.

*Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed?* A barometer of success will be DOA's compliance with records management statutes and a records management program that improves how the DOA handles records management.

### **Goal Number 3:**

**IT Goal 3                      Establish an IT services foundation based on standards, best practices, and fiscal sustainability.**

**Description:** The DOA will manage, use and deploy information technology based on industry standards; best practices and sound financial planning.

**Benefits:** This goal recognizes that information technology must be deployed with growth, manageability and financial viability in mind. Solutions that are based upon standards, follow best practices and are fiscally sustainable will help the DOA to leverage existing efforts and enable service delivery at a lower cost.

**Which state strategic goal(s) and/or objective(s) does your goal address?** This goal addresses all five goals of the State IT Strategic Plan. A strong IT foundation and infrastructure will help the DOA to achieve the best value from its IT investments and the goals of improved access to information, enhanced reliability and security and effective governance to be realized.

### **Supporting Objective/Action**

**Objective 3-1                      Develop procedures and policies that create structure and accountability for both users and providers of IT services.**

*Describe the business requirements or business problem driving this objective.* Currently, many services and technologies do not have well defined processes or procedures regarding how they are provisioned or used. This leads to inefficiencies and wasted resources.

*Describe the benefits to be derived from the successful completion of this objective.* Defined processes and procedures will help services to be deployed more efficiently. Defined policies will ensure that employees are aware of their responsibilities and accountable for their actions.

*Describe the anticipated risks associated with this objective. (e.g., risks associated with inaction or not completing this objective; risks associated with completing this objective).* Failure to achieve this objective will result in continued inefficiencies and unaccountability and put all other efforts in this plan at risk.

*What is the timeframe for completion of this objective?* Ongoing

*Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed?* Metrics must be developed to indicate where inefficient services or activities are occurring and how well new policies, processes and procedures are improving them. Generally, success in other goals and objectives will indicate success here.

### **Supporting Objective/Action**

**Objective 3-2      Ensure DOA IT resources are spent on activities and services that provide the most value to the DOA and State of Montana as a whole. (Should the Enterprise IT or Agency IT be providing a particular service?)**

*Describe the business requirements or business problem driving this objective.* DOA IT should clearly define what services and activities it will provide and perform and what services and activities SITSD or other entities such as contractors and service brokers will provide. In general, DOA IT should actively perform in areas that require DOA business process knowledge and expertise. DOA IT should actively manage, but not perform in areas that are more efficiently and effectively provided at the enterprise level, such as technology infrastructure support.

*Describe the benefits to be derived from the successful completion of this objective.* The DOA is better served when its IT resources are invested in high-value activities such as business process analysis, project management, process automation and other activities that are geared towards improving DOA businesses functions. Activities that support technical infrastructure or are common across multiple agencies are likely better provided at an enterprise level by SITSD or other entities. DOA IT must still take a constant and active role in managing and overseeing these activities to ensure that they meet the needs of the DOA.

*Describe the anticipated risks associated with this objective. (e.g., risks associated with inaction or not completing this objective; risks associated with completing this objective).* Enterprise and agency service will need to be clearly defined to avoid overlap and potential conflict. Other agency participation and enterprise adoption of this objective will be critical to achieving this goal.

*What is the timeframe for completion of this objective?* Ongoing

*Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed?* Overlapping service between the DOA IT and SITSD and other service providers will be eliminated.

### **Supporting Objective/Action**

**Objective 3-3      Build an effective DOA IT team that can deliver services and provide expertise and guidance to all DOA Divisions.**

*Describe the business requirements or business problem driving this objective.* DOA IT currently has a limited staff that cannot provide needed IT services to the department. A dedicated DOA IT team will focus on understanding DOA lines of business and deliver high-value services such as project management, business process analysis and technology consulting.

*Describe the benefits to be derived from the successful completion of this objective.* The benefits of business analysis and project management activities have been well documented. A team that provides these types of services across the department will build institutional knowledge and better position the department to identify and act on opportunities and work towards the other goals and objectives identified in this plan.

*Describe the anticipated risks associated with this objective. (e.g., risks associated with inaction or not completing this objective; risks associated with completing this objective).* Without these services, some areas of the department will be unable to proceed with projects or initiatives or will proceed at much greater risk of failure. Contractors can be used but at generally higher cost and no gain of institutional knowledge.

*What is the timeframe for completion of this objective?* Ongoing

*Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed?* Success will be demonstrated by improved business services and successful implementations of an increased number of IT projects in both size and scope. Success of other identified goals, objectives and initiatives will also indicate success.

## SECTION 5: IT INITIATIVES (FY2012 – FY 2017)

### *Director's Office & Department-Wide Initiatives:*

#### **Initiative 1**            Depart of Administration Information Technology (DOA IT) Team

Description: This initiative will establish a DOA IT Team to provide needed technology expertise and services to the entire department and resource the various goals, objectives and initiatives described in this plan. The DOA IT Team will primarily provide business analysis, project management, information management (security and records management programs) and technology consulting service to the DOA. DOA IT will also serve as an effective “service broker” for services and skills that are better provided by SITSD or other service providers.

EPP Number (if applicable)    None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.

#### **Initiative 2**            Automated Policy Management System

Description: This initiative will automate the policy management processes and information of the Montana Operations Manual. Later phases will provide for employee compliance and provide a technology foundation for other policy automation in the department and for other agencies.

EPP Number (if applicable)    None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.

#### **Initiative 3**            Information Management Initiative

Description: This initiative will establish a formal data management strategy to identify ownership and responsibility of information and data managed or maintained by the DOA. A formal data management strategy will help the DOA to identify key areas where data and information are shared and establish control, structure and accountability.

EPP Number (if applicable)    None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.

#### **Initiative 4**            Facility Asset Management Initiative

Description: This initiative encompasses the workflows, data and information related to capital assets built, owned, insured and otherwise maintained by the State. The State Accounting, General Services, Architecture & Engineering and Risk Management and Tort Defense Divisions have been identified as stakeholders in this initiative. In addition, other divisions and agencies may also have stakeholder interests. The Director's Office will coordinate the various efforts and projects to ensure that systems and automation related to capital assets are coordinated and connected. The primary focus of the initiative will be on process and data ownership to determine system priorities.

EPP Number (if applicable)    None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included

to provide guidance and benefit for the Department of Administration.

**Initiative 5** DOA IT Policies and Procedures

Description: This initiative will establish sound policies and procedures for DOA IT activities. This initiative will align closely with the State Information Technology Services Division's policy efforts.

EPP Number (if applicable) None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.

**Initiative 6** Software Asset Management Program

Description: This initiative specifically focuses on establishing a DOA software asset management (SAM) program. The initiative will enable the DOA to manage software licenses efficiently and maintain license compliance. This program will be developed so it can be used as a model or template for other agencies and provide a foundation for "SAM as a Service" by the State Information Technology Services Division.

EPP Number (if applicable) None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.

**Architecture & Engineering Division (A&E) Initiative:**

**Initiative 1** Project Management Automation and Improvement

Description: This initiative will provide automation and improvement of the A&E Division project management functions and processes. This initiative also closely aligns with the Facility Asset Management Initiative described above (Director's Office & Department-Wide Initiative #4).

EPP Number (if applicable) None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.

**Division of Banking and Financial Institutions (DBFI) Initiative:**

**Initiative 1** Banking Database and Process Automation

**Description:** This initiative will provide a consolidated system to track and manage financial institutions licensing and bank examination processes and information. The goal is to improve internal operational efficiencies and provide better service to customers. This Division expects have the initial system in place by FY2013 and will pursue ongoing system enhancements and improvements to business processes.

EPP Number (if applicable) None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.

**General Services Division (GSD) Initiatives:**

**Initiative 1** Computerized Maintenance Management Initiative

Description: GSD is responsible for the maintenance, operation and renovation of State buildings, grounds, and facility infrastructure systems. GSD expects to automate these activities and improve the collection

and use of data from activities and assets to make better decisions. GSD also expects to adopt industry best practices and vendor recommended processes and procedures wherever feasible. The first business process/function GSD expects to automate is work order assignment and tracking. This initiative also closely aligns with the Facility Asset Management Initiative described above (Director's Office & Department-Wide Initiative #4).

EPP Number (if applicable) 603

**Initiative 2** Copier Pool and Managed Printing Initiative

Description: This initiative will deliver improved printing and scanning services to the State copier pool customers through collaboration with the copier pool vendor, SITSD and agency IT groups; and leverage emerging technologies inherent in modern copier and multi-function devices.

EPP Number (if applicable) None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.

**Initiative 3** Procurement and Contract Management Initiative

Description: This initiative will streamline procurement and contract management processes, improve access to procurement and contract information, examine and evaluate current contract processes, and identify areas for change and determine opportunities for automation.

EPP Number None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.

**Initiative 4** Surplus Property Initiative

Description: This initiative will improve the processes and accountability of surplus property.

EPP Number (if applicable) None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.

**Health Care and Benefits Division (HCBD) Initiatives:**

**Initiative 1** Member Communication and Education

Description: This initiative acknowledges the rapid expansion of available communication media and recognizes the need for innovative and creative communication tools. These tools must provide customers diverse and flexible access to health care information. The goal is to improve access to information and enable customers to find and use information, making them better consumers of their healthcare benefits.

EPP Number (if applicable) None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.

**Initiative 2** Improved Decision Support Tools

Description: This initiative is focused on using information to help both HCBD and its customers to make better decisions based on data, metrics, trends and analyses. This initiative will help HCBD discover areas for cost savings and improved services. Plan members will be able to make informed decisions about their

healthcare choices through access to customized information relevant to their individual situations.

EPP Number (if applicable) None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.

**Initiative 3** Contract Management and Performance

Description: This initiative will help HCBP to better manage and control the performance of contractors and service providers that HCBP oversees.

EPP Number (if applicable) None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.

**Risk Management and Tort Defense Division (RMTD) Initiatives:**

**Initiative 1** Property and Casualty Insurance Information System (PCIIS) Enhancement and Support

Description: This initiative will update the underlying technology infrastructure of this system to modern technology and standards. This initiative will help the DOA to more efficiently manage and track the state's vital, insurable assets and provide more timely underwriting submissions to the state's commercial excess insurance carriers. Enhancements to the system will promote easier support and modification to add features and capability to the system, especially in the areas of forms and reporting.

EPP Number (if applicable) None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.

**Initiative 2** Claims System Rewrite

Description: This initiative will update the underlying technology infrastructure of the claims system to modern technology and standards. This initiative will help the DOA to more effectively manage and track the expenses that are associated with claims and lawsuits and to identify mitigation measures and risk management practices. RMTD will conduct a comprehensive business process analysis to identify business processes that may be improved or changed. In addition, RMTD expects that the business process analysis will identify potential improvements to the automation, storage, and retrieval of electronic data in the system.

EPP Number (if applicable) None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.

**State Accounting Division (SAD) Initiatives:**

**Initiative 1** Local Government Audit Review System Rewrite

Description: This initiative will result in a system that functions using current versions of State standard technology. Improvements to the existing audit review management process will also be explored and

possibly implemented.

EPP Number (if applicable) None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.

## **Initiative 2**      Statewide Budget and Reporting System Upgrade

Description: This initiative describes the effort to upgrade the statewide budgeting system to mitigate technology support concerns and provide new functionality. The SABHRS Finance and Budget Bureau is managing the upgrade project on behalf of the Governor's Office of Budget and Program Planning (OBPP) and the Legislative Fiscal Division (LFD).

EPP Number (if applicable) None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.

## **Initiative 3**      Statewide Financial System Enhancements and Improvements

Description: Enhance and improve the statewide accounting and finance system (SABHRS). SABHRS requires periodic upgrades to maintain support and maintenance from the vendor. The upgrades also provide functionality and system support improvements. Additional non-vendor system requirements and enhancements are made as approved by process owners. This initiative will also closely align with Facility Asset Management Initiative described above (Director's Office & Department-Wide Initiative #4).

EPP Number (if applicable) None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.

## **State Human Resources Division (SHRD) Initiatives:**

### **Initiative 1**      Employee Data and Information Initiative

Description: This initiative encompasses how employee data is managed and governed by the State Human Resources Division. State Human Resources will coordinate stakeholder interests and ensure that IT systems and automation related to employee data are coordinated and connected. The primary focus of the initiative will be on data ownership and employee information management. This initiative will support the Employee Lifecycle Process Automation and Improvement Initiative below.

EPP Number (if applicable) None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.

### **Initiative 2**      Employee Lifecycle Process Automation and Improvement Initiative

Description: This initiative describes efforts to automate and improve the employee lifecycle processes and determine how those processes can leverage technology to be conducted more efficiently and accurately.

EPP Number (if applicable) None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.



**Initiative 3**      Hiring Systems Initiative

Description: This initiative will establish the funding and support necessary to maintain the State Employment Application System and Hiring Information Data Warehouse and allow for future enhancements and improvements.

EPP Number (if applicable)    None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.

**Initiative 4**      Statewide HR system (SABHRS) Enhancements and Improvements Initiative

Description: Enhance and improve the statewide human resources and payroll system module (SABHRS). SABHRS requires periodic upgrades to maintain support and maintenance from the vendor. The upgrades also provide functionality and system support improvements. This initiative will also closely align with the Employee Data Information initiative described above.

EPP Number (if applicable)    None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.

**Initiative 5**      Improve Access to Information and Self-Service Initiative

Description: This initiative describes efforts to improve access to information and resources, such as training, policies, HR best practices and other products and services produced or provided by State Human Resources. This initiative primarily focuses on using internet and intranet technologies to improve the delivery of information, create “self-service” portals and help customers to more easily find and use information and services.

EPP Number (if applicable)    None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.

**State Tax Appeal Board Initiative (STAB):****Initiative 1**      Tax Appeal Tracking Improvements

Description: This initiative is focused on improving the tax appeal tracking processes and making enhancements to the current system to help staff to process and conduct appeals more efficiently, as well as begin moving toward electronic filing and processing of appeals.

EPP Number (if applicable)    None. This initiative does not meet the threshold as defined in the Agency IT Plan instructions for inclusion as an IT Initiative; however it is included to provide guidance and benefit for the Department of Administration.

## SECTION 6: ENTERPRISE ALIGNMENT

### *Communities of Interest Participation*

- ☒ Government Services
- ☐ Public Safety
- ☒ Human Resources
- ☐ Environmental
- ☐ Education
- ☐ Economic
- ☐ Cultural Affairs
- ☒ Finance

## SECTION 7: PLANNED AGENCY IT EXPENDITURES

<u>Expense Category</u>	<u>FY2012</u>	<u>FY2013</u>	<u>FY2014</u>	<u>FY2015</u>	<u>FY2016</u>	<u>FY2017</u>
Personal Services	3,064,738	3,069,432	3,222,904	3,384,049	3,553,251	3,730,914
Operating Expenses	5,425,416	5,723,496	6,009,671	6,310,155	6,625,663	6,956,946
Initiatives			350,000			
Other expenditures	530,000					
<b>Totals</b>	<b>9,020,154</b>	<b>8,902,928</b>	<b>9,582,575</b>	<b>9,694,204</b>	<b>10,178,914</b>	<b>10,687,860</b>

### NOTES:

Figures as of May 4<sup>th</sup>, 2012. **FY2014 and beyond Personal Services and Operating figures are estimated at previous year figure + 5%.**

Personal Services is comprised of all FTE in HRIS and SABHRS Finance Bureaus and 2 DOA IT Staff.

Operating Expenses comprised of entire HRIS and SABHRS Finance Bureaus operating budgets and all other Division SITSD budgets.

Other Expenditures:

DBFI Database Project: \$500,000 in FY2012 and \$100,000 per year operating thereafter.

Policy Management System: \$30,000 in FY2012 and \$10,000 per year operating thereafter.